



**GOVERNOR'S OFFICE OF EMERGENCY SERVICES**  
**LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

3650 SCHRIEVER AVENUE  
MATHER, CALIFORNIA 95655  
(916) 324-9225  
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May 1, 2008

Mark Geiger  
Senior Assistant Attorney General  
California Department of Justice  
1300 I Street, Room 940-20v  
Sacramento, CA 95814

Dear Mr. Geiger:

The Governor's Office of Emergency Services is pleased to announce the release of the Request for Application (RFA) for the High Technology Theft Apprehension and Prosecution Program - Deputy Attorney General Identity Theft Support. This funding opportunity is only available to the State of California, Department of Justice. Funding is provided to assist with multi-jurisdictional identity theft case development and prosecution within the High Technology Identity Theft Units of the California High Technology Crimes Task Force.

The application must be postmarked by **Monday, June 2, 2008** or hand delivered to this office by 5:00 p.m. on the same day to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: HTTAP – Crime Suppression Section

It is anticipated that \$399,440 will be allocated for this project for the 12-month grant period July 1, 2008 through June 30, 2009. This project is required to include a 25 percent match on funds allocated (\$99,860) for a total project budget of \$499,300. Continuation funding is contingent upon the passage of the State Budget Act, successful project performance and compliance of the grant award agreement. OES does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed.

If you have any questions regarding this program or the RFA, please contact Ann Saldubehere, Program Specialist, Crime Suppression Section, at 916-324-9225.

Sincerely,

A handwritten signature in black ink, appearing to read "Stacy Mason-Vegna".

STACY MASON-VEGNA, Chief  
Crime Suppression Section

**GOVERNOR’S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**HIGH TECHNOLOGY THEFT APPREHENSION  
AND PROSECUTION PROGRAM  
DEPUTY ATTORNEY GENERAL (DAG) – IDENTITY THEFT SUPPORT**

**REQUEST FOR APPLICATION**

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- III. **FORMS** –Click on one of the form links below to access the form. Save the form to your hard drive before you attempt to fill it out. To access the complete list of forms on our website click on ([FORMS](#)), or go to [www.oes.ca.gov](http://www.oes.ca.gov) and select “Forms”, or paste the following link into your browser:  
[www.oes.ca.gov/Operational/OESHome.nsf/CJPDHome?OpenForm](http://www.oes.ca.gov/Operational/OESHome.nsf/CJPDHome?OpenForm)

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**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**HIGH TECHNOLOGY THEFT APPREHENSION AND PROSECUTION PROGRAM  
DEPUTY ATTORNEY GENERAL – IDENTITY THEFT SUPPORT**

**REQUEST FOR APPLICATION**

**PART I – INFORMATION**

**A. INTRODUCTION**

This Request for Application (RFA) provides the information and forms necessary to prepare an application for the Governor's Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFA supersede previous RFAs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the application and can be accessed at the website [www.oes.ca.gov](http://www.oes.ca.gov) by selecting "Recipient Handbooks."

**B. CONTACT INFORMATION**

Questions concerning this RFA, the application process, or programmatic issues should be submitted to the below contact person by telephone, fax, or e-mail.

Ann Saldubehere, Program Specialist  
Phone: (916) 324-9225  
Fax: (916) 323-1756  
E-mail: [ann.saldubehere@oes.ca.gov](mailto:ann.saldubehere@oes.ca.gov)

**C. APPLICATION DUE DATE AND SUBMISSION OPTIONS**

***One original and one copy*** of the application must be delivered to OES' Law Enforcement and Victim Services Division by the date and time indicated below. Submission options are:

1. Regular and Overnight mail, **postmarked by Monday, June 2, 2008** to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: HIGH TECH CRIME DAG SUPPORT RFA  
Crime Suppression Section

2. Hand delivered by **5:00 p.m. on Monday, June 2, 2008** to:

Governor's Office of Emergency Services  
Law Enforcement and Victim Services Division  
3650 Schriever Avenue  
Mather, CA 95655  
Attn: HIGH TECH CRIME DAG SUPPORT RFA  
Crime Suppression Section

## **D. ELIGIBILITY**

The State of California, Department of Justice (DOJ), is the designated agency to submit an application for this project in accordance with the HTTAP Program.

The DOJ, having been awarded funds authorized under the HTTP Program during the previous grant-funding cycle, upon reapplication for funds to the High Tech Crime Advisory Committee, shall submit DOJ-specific (not regional identity theft unit) accounting with defining criteria to include, but not limited to the following outlined items:

- The funds received and expended in the prior year;
- How those funds were expended, including payment of salaries and expenses; purchases of equipment and supplies, and other expenditures by type;
- The number of DOJ identity theft crime cases investigated in the prior year;
- The number of DOJ identity theft crime cases filed in the prior year;
- The number of DOJ arrests and convictions that were a result of the HTTAP funds;
- The number of victims involved in the cases filed; and
- The total aggregate monetary loss suffered by the victims, including individuals, associations, institutions, or corporations, as a result of the DAG identity theft support crime cases filed, and those under active investigation by the DAG identity theft support project.

## **E. FUNDS**

The funding cycle for this award will be for 12 months starting on July 1, 2008 and ending June 30, 2009.

### **1. Source of Funds**

California Penal Code §13848.2 authorizes the establishment of HTTP Program. State General Funds comprise the available funds of the HTTP Program Trust Fund, which funds all HTTAP projects.

### **2. Allocation of Funds**

Applicants will be funded for a 12-month period. Applicants shall submit their application, objectives, activities, budget narrative and budget sheets based upon a grant period beginning on July 1, 2008 and ending on June 30, 2009.

### **3. Match Requirement**

There is a 25% cash or in-kind match for this program based on funds allocated to project costs. Please refer to the *Recipient Handbook* §6550.2 for further match information.

## **F. PROGRAM INFORMATION**

The purpose of this RFA is to provide funding for Deputy Attorney Generals (DAGs) and Special Agents (SAs) of the Department of Justice to assist counties representing the regional Identity Theft Units of the California High Technology Crimes Task Force in the investigation and prosecution of identity theft and identity theft related cases. The DOJ DAG and SA support for regional Identity Theft Units will allow dedicated and specifically trained personnel to investigate

and prosecute identity theft crimes. The funding allows the Attorney General's Office to provide DAGs and SAs assistance with cases where the prosecution would involve multiple jurisdictions. Funding is also provided in cases where, at the election of that Member County or county associated through MOU/MOA with an identity theft unit, the county lacks the necessary expertise or resources for the prosecution of such cases. The investigations/prosecutions may include Internet tracing and detailed computer forensics, conducting identity theft "sting" operations, and shutting down fraudulent document printers employed as paper mills, as well as following traditional paper trails.

To the extent possible, this project will seek the assistance and cooperation of state and federal law enforcement agencies. These may include but are not limited to: the California Highway Patrol, Department of Motor Vehicles, California Department of Consumer Affairs, the Federal Bureau of Investigation, Secret Service, Internal Revenue Service, U.S. Customs, U.S. Postal Service, and the Immigration and Customs Enforcement.

#### **1. State Mandated Program Requirements:**

In order to qualify for the receipt of funds, the submitting agency shall address program elements that provide support in the development and prosecution of multi-jurisdictional identity theft cases to include, but not limited to, Penal Code §470a, 470b, 472, 475, 476, 484e, 484f, 484g, 484i, 529, 529 subdivision 3, 529a, 529.5, 530, 530.5, 532, 532a, 532.2.

- a. The submitted application shall set forth, in detail, the proposed use of the funds.
- b. The project shall be devoted to the investigation and prosecution of identity theft related crimes.
- c. The project shall be comprised of Deputy Attorney Generals and/or Special Agents with specific assignment to a regional HTTAP funded Identity Theft Unit.
- d. Each investigator, at a minimum, shall attend High Tech Identity Theft Investigator training as soon as possible following assignment to the unit if not previously certified as a trained Identity Theft Investigator. Each Deputy Attorney General prosecutor is also encouraged to attend High Technology Identity Theft Investigator training and associated prosecutorial training if not previously recognized as a specialized Identity Theft Prosecutor.
- e. The DOJ project having, been awarded funds authorized under the HTTAP Program during the previous grant-funding cycle, shall include in the reapplication project, a narrative which details the accounting of funds received and expended in the prior grant period. At a minimum, the accounting information from the previous cycle shall include:
  - 1) The amount of funds received and expended.
  - 2) The use to which those funds were expended, including payment of salaries and benefits, purchase of equipment and supplies, and other expenditures by type.
  - 3) The number of DOJ-specific filed complaints, investigations, arrests, and convictions that resulted from expenditure of the funds.
- f. In accordance with California Penal Code § 13848.4(c), the CSII/CAL DOJ JRIES has been developed and deployed for use by grantees of the HTTAP Program. All HTTAP funded grantees will input intelligence information into the statewide database to aid in

developing and distributing high technology intelligence information to participating agencies. Information will be entered into the statewide database on an ongoing basis.

- g. Each regional task force will provide end-user representatives with sufficient working knowledge and authority to attend and participate in the High Technology Crime Intelligence Ad Hoc Database Sub-committee meetings and High Technology Crime Advisory Committee meetings on an as-needed basis.
- h. The project will provide representatives with sufficient working knowledge and authority to attend and participate in the quarterly High Technology Crime Intelligence Database Sub-committee meetings and High Technology Crime Advisory Committee meetings.

## **2. Administrative Requirements**

### **a. Recipient Handbook**

The *Recipient Handbook* contains administrative information and requirements necessary to implement the project. Projects must administer grants in accordance with the *Recipient Handbook* requirements in effect at the time of grant award agreement. Failure to comply with these requirements can result in the withholding or termination of the grant award. The most current edition of the *Recipient Handbook* can be located at [www.oes.ca.gov](http://www.oes.ca.gov).

### **Memorandums of Understanding and Operational Agreements**

*PLEASE SUBMIT A SAMPLE OA or MOU for the period 2007 to 2010 AND A LIST OF ALL ENTITIES WITH WHOM YOU HAVE ENTERED INTO AN OA OR MOU DURING THAT PERIOD. ALL FULLY SIGNED AND DATED OAs OR MOUs MUST BE PRODUCIBLE UPON REQUEST BY AN OES REPRESENTATIVE, E.G., DURING A SITE VISIT AND/OR MONITORING.*

Due to the nature of multi-jurisdictional task forces, memorandums of understandings (MOUs) or operational agreements (OA's) are required. MOUs/OAs must be dated and contain the original signatures, titles and agency names, and contact information for both parties. They must demonstrate a formal system of networking and coordination with other agencies and the project. Once the applicant is in grant award agreement, the addition or deletion of an agency from a task force alters the organization and activities of a task force as a whole and requires a modification to the grant award agreement. The grantee must submit a Grant Award Modification Form 223, and attach the MOU/OA or documents that support the dissolution of the previously entered MOU/OA, and amended project narrative or an addendum to the project narrative. If the new agency will have operating or equipment expenses attributed to it, or if the removed agency had operating or equipment expenses attributed to it, an updated budget narrative and updated budget pages must also be submitted.

### **c. Progress Reports and Data Collection.**

Funded projects are required to participate in data collection and to submit reports required by the program. A 90-day status report detailing the activities during the implementation period is required for any projects in which this is the first year of grant funding under the HTTAP Program. The 90-day status report is waived for all projects that have previously received HTTAP funding and are continuing their project. Additionally, all projects will submit a six-month progress report covering the first six

months, and a final progress report, which covers the entire 12-month period. Progress reports are due 30 days after the end of each reporting period.

d. Asset Seizure and Forfeiture Reporting.

Projects receiving any grant-related funds are required to report project income. All projects will submit a Project Income Report on a quarterly schedule whether or not income was obtained within the reporting period. Project income is defined as, *any income resulting from grant-related activities*, and may be utilized to meet the grant match requirements. Asset forfeiture is included as project income, which could occur under the authorization of Penal Code §502.01. When a court case involving an asset seizure is completed, the forfeitures will be reported quarterly on the Project Income Reporting Transmittal (Form 234) as project income. Only the portion of funds forfeited and directly returned to the grantee will be reported on the Project Income Reporting Transmittal Form. Forfeitures do not become part of the grant award amount, but they can be documented as part of the project's match.

According to guidelines, asset forfeiture funds are only to be expended in the following order:

- Furtherance of grant activity,
- Any criminal justice activity,
- Returned to OES.

OES leaves this decision at the local level; however, additional justification must be provided if selecting other than the first priority.

Note: All forfeitures must also be reported in Progress Reports.

**FORFEITED ASSETS THAT BECOME PROJECT INCOME *WILL NOT* BE DEDUCTED FROM THE ORIGINAL GRANT AWARD AMOUNT.**

e. Funding Authorization.

At the time of funding, the project is required to obtain written authorization from the city council/governing board that the official executing the agreement is, in fact, authorized to do so, and will maintain said written authorization on file and readily available upon demand.

f. Property Accountability.

At a minimum, accountability, maintenance, loss/replacement, and transfer of equipment purchased through grant funds will be as outlined in §2350-2380 of the *Recipient Handbook*. Implementing agencies should address the disposition of equipment in MOU/OAs if equipment is purchased jointly.

g. Confidential Funds.

Confidential fund expenditures are costs that will be incurred by law enforcement agencies using grant personnel working in an undercover or other investigative capacity. It may include the purchase of information, physical evidence (e.g., stolen high technology hardware or counterfeit software, fraudulent documents, etc.), or services. Confidential fund expenditures are only allowable for grants to state or local law enforcement agencies. All confidential funds must be expended within the grant

award period or reallocated via a modification request prior to conclusion of the grant award period.

Confidential funds are those monies allocated to the purchase of services (P/S), purchase of evidence (P/E), and purchase of specific information (P/I). These funds should only be allocated when:

- Returned to OES. The particular merits of a program/investigation warrant the expenditure of these funds.
- Requesting agencies are unable to obtain these funds from other sources

Confidential funds are subject to prior approval. Such approval will be based on a finding that they are a reasonable and necessary element of project operations. In this regard, the approving agency must also ensure that the controls over disbursement of confidential funds are adequate to safeguard against the misuse of such funds.

Confidential Funds Certification - A signed certification that the project director has read, understands, and agrees to abide by these provisions is required from all projects that are involved with confidential funds from either Federal or matching funds. The signed certification must be submitted at the time of the grant application.

h. Source Documents.

Applicants are reminded that source documentation must be maintained for 3 years from the conclusion of the grant award period.

### 3. **Program Goals**

The applicant shall address and provide expected projections for each of the following minimum goals as have been established for the DOJ Identity Theft Support Project:

- a. To provide investigative and prosecutorial support to the OES funded Identity Theft Units of the HTTAP Program. To assist with the investigation, prosecution, and reduction of multi-jurisdictional criminal organizations, networks, and groups of individuals engaged in identity theft violations to include, but not limited to, Penal Code §470a, 470b, 472, 475, 476, 484e, 484f, 484g, 484i, 529 subdivision 3, 529a, 529.5, 530, 530.5, 532, 532a, and 532.2. Investigations require coordination between regional OES funded Identity Theft Units and may include other local, state, federal, and international law enforcement agencies.
- b. To develop and provide identity theft training for judges, prosecutors, law enforcement officers, and investigators within the regional multi-county areas covered by each OES funded Identity Theft Unit. Training may also be provided to other California judges, prosecutors, and/or law enforcement officers for the identification and subsequent handling of suspected identity theft criminal matters.
- c. To provide investigative, legal, and prosecutorial support to rural counties of California not represented by OES funded regional Identity Theft Task Forces.
- d. To provide coordination for out-of-state identity theft investigation requests.
- e. To provide state agency support for identity theft crimes which are initiated by other state agencies.

- f. All HTTAP funded projects will input intelligence information into the California State Intelligence Index (CSII) and utilize the California Department of Justice (DOJ) JRIES web portal and GROOVE software collaboration tool for information exchange. Information will be entered into the database on an ongoing basis.

#### **4. Source Documentation**

The applicant, when approved for funding, is required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Information includes, but is not limited to the following:

- The number of DOJ-specific identity theft crime cases filed. (Defined as the number of defendants charged with a high technology crime case.)
- The number of DOJ-specific identity theft crime cases investigated. (Defined as the number of defendants investigated for committing high technology crimes.)
- The number of victims involved in the DOJ-specific cases filed. (Counting each victim once whether victimized once or multiple times by the suspect in the individual case.)
- Number of DOJ-specific arrests. (Defined as number of suspects arrested.)
- The number of DOJ-specific convictions obtained. (Defined as a defendant(s) in one case convicted of one or more charges. If more than one defendant on one case, each defendant that is convicted will be reported.)
- The total aggregate monetary loss suffered by the victims, (from the cases filed) including individuals, associations, institutions, corporations, and other relevant public entities, according to the number of cases filed, investigations, prosecutions, and convictions obtained as a result of the high technology crime cases filed and those under active investigation.
- The amount of funds received and expended; and
- How the funds were used, including payment of salaries and expenses, purchase of equipment and supplies, and other expenditures by type.

Grant-related case files and an automated record tracking system should be maintained at the location where the grant activities occur.

Projects must have on file written job-specific descriptions for all positions funded by a grant (§2120 *Recipient Handbook*). These job descriptions must detail specific grant-related project activities, e.g., project staff, investigator, prosecutor, forensic computer analyst, etc. Where applicable, job descriptions will also include a statement addressing what position will be responsible for tracking project activities and maintenance of source documentation that supports data reported on progress reports.

#### **5. Mandated Program Reports**

OES is obliged to assure that funds received in support of this program are used effectively and efficiently. In order to receive funding under this state authorized program, State and local participants who received HTTAP funds must collect and maintain statistics to be used in the OES semi-annual progress report, the final progress report, and the Annual Report of the High Technology Crime Advisory Committee.

In addition to the above progress reports, all grant recipients are required to provide quarterly reports, via the OES High Technology Crime Program Specialist, to the High Technology Crime Advisory Committee for each fiscal year of funding.

- **High Technology Crime Advisory Committee (HTCAC) Quarterly Report Form:** Report to be completed and e-mailed to the High Technology Crime Program Specialist as directed to ensure distribution to members of the HTCAC and HTTAP Program project directors 15 days prior to the next scheduled HTCAC meeting. Report will cover three months of operation:

July/August/September 2008 – Due October 31, 2008

Oct/Nov/Dec 2007 – Due Jan 30, 2009

Jan/Feb/March 2008– Due April 30, 2009

April/May/June 2008 – Due July 31, 2009

- **HTCAC Annual Report Form:** Report to be completed and emailed to the High Technology Crime Grant Specialist as directed to ensure distribution to members of the HTCAC and HTTAP Program project directors 15 days prior to the next scheduled HTCAC meeting. Report will cover the twelve-months of operation for fiscal year 2008/09.

#### **G. PREPARING AN APPLICATION**

Included in the Table of Contents is a link to an Application Cover Sheet. Please complete the Application Cover Sheet and attach it to the front of the application.

Please provide the eight required application components in the order listed below:

- Application Cover Sheet;
- Grant Award Face Sheet (OES A301);
- Project Contact Information;
- Certification of Assurance of Compliance;
- Signature Authorization and Instructions;
- Project Narrative;
- Budget Narrative and the Project Budget (OES A303a-c), and:
- Application Appendix (refer to Part II, C.).

**GOVERNOR'S OFFICE OF EMERGENCY SERVICES  
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**HIGH TECHNOLOGY THEFT APPREHENSION AND PROSECUTION PROGRAM  
DEPUTY ATTORNEY GENERAL – IDENTITY THEFT SUPPORT**

**REQUEST FOR APPLICATION**

**PART II – INSTRUCTIONS**

The instructions in this section correspond to each of the application components and to the forms required to complete the application.

The applicant must use the forms provided in “Forms” ([FORMS](#)) and plain 8½” x 11” white paper for the application. The blank Project and Budget Narrative pages on the website have been pre-formatted to OES standards. If you create your own computer-generated Project and Budget pages, the format must duplicate the OES pre-formatted pages.

Copies of the application must be assembled separately and individually fastened in the upper left corner. ***Do not bind application.***

**A. PROJECT NARRATIVE**

The project narrative is the main body of information describing the problem to be addressed, the plan to address the problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the plan.

**1. Problem Statement**

Describe the problem of identity theft crime within the proposed represented area and address any specific concerns or trends. The RFA must address the state mandated requirements concerning the previous grant funding cycle, as outlined in Part I, Program Information (Section F).

**2. Plan and Implementation**

Plan: Project Objectives and Activities

This section of the application describes the goals for each component of the HTTAP Program. Under each objective, describe the activities that will be implemented by the project and predicted results that will be achieved during the 12-month grant award period. Projects funded under this program must implement objectives 1 through 5 at a minimum. Objectives and activities implemented for this grant award period must be comprehensive, measurable, and realistic.

PLEASE LIST PROJECTED GOALS FOR EACH SPECIFIC CATEGORY AND ACTIVITIES IN NARRATIVE OR BULLET FORMAT.

**Objective #1:** To provide investigative and prosecutorial support to the OES funded Identity Theft Units of the HTTAP Program. To assist with the investigation, prosecution, and reduction of multi-jurisdictional criminal organizations, networks, and groups of individuals engaged in identity theft violations to include, but not limited to, Penal Code §470a, 470b, 472, 475, 476, 484e, 484f, 484g, 484i, 529 subdivision 3, 529a, 529.5, 530, 530.5, 532,

532a, and 532.2. Investigations require coordination between regional OES funded Identity Theft Units and may include other local, state, federal, and international law enforcement agencies.

**Objective #2:** To develop and provide identity theft training for judges, prosecutors, law enforcement officers, and investigators within the regional multi-county areas covered by each OES funded Identity Theft Unit. Training may also be directed at other California judges, prosecutors, and/or law enforcement officers for the identification and subsequent handling of suspected identity theft criminal.

**Objective #3:** To provide investigative, legal, and prosecutorial support to rural counties in California not represented by an OES funded regional Identity Theft Unit.

**Objective #4:** To provide coordination for Out-of-State Identity Theft Investigation Requests.

**Objective #5:** To provide state agency support for identity theft crimes that is initiated by other state agencies.

**Implementation:**

a. Organizational Description.

Describe the implementing agency, including history, size, composition, and structure of the organization. Discuss the primary mission, philosophy, range, and focus of services and the organization's capacity to implement the project described.

b. Organizational Description

Provide an organizational chart that reflects the relationships between the implementing agency and the project staff, including service providers. Within the organizational chart provide the physical address, telephone number, and e-mail/web site address of the project staff location(s) for all grant operations. For the purpose of continuity, management and overall operational needs, to the extent possible, all grant-funded operational positions shall be co-located within regional identity theft units of the HTTAP Program.

At a minimum, the organizational chart will provide staff positions, to include the position title and employing agency of all grant-funded personnel. Clearly show the placement of the project staff and their programmatic responsibility. Titles of positions in the organizational chart must match those described in the project design, project objectives and activities, and budget sections. Identify positions that are grant funded, partially grant funded (with percentage), and not grant funded.

c. Coordination

- List and describe the agencies with which the applicant proposes coordination. The discussion must be consistent with the state-mandated requirements and submitted in the memorandum of understanding/operational agreement (MOU/OA).
- Provide a discussion of the plans for coordination as outlined in the MOU/OA with the agencies described.

## B. **PROJECT BUDGET**

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. The applicant may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, the applicant should not include in the project budget matching funds (if applicable) in excess of the required match. Budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program, ensure the successful and cost effective implementation of the project. Failure of the applicant to include required items in the budget does not eliminate responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Recipient Handbook* at [www.oes.ca.gov](http://www.oes.ca.gov). Select “*Recipient Handbooks*” for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on page 1-subsection B of this RFA should you have additional budget questions.

### 1. **Budget Narrative**

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the application in front of the budget pages. In the narrative describe:

- How the applicant’s proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff, including qualifications or education level necessary for the job assignment. This does not take the place of the brief justification required in the line item budget.
- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures.
- Mid-year salary range adjustments.

### 2. **Specific Budget Categories**

There is an Excel Workbook in “*Forms*” ([FORMS](#)) with spreadsheets for each of the following three budget categories:

- Personal Services – Employee Salaries/Benefits;
- Operating Expenses; and
- Equipment.

The left column of each budget category on the Spreadsheet requires line item detail including the calculation and justification for the expense. Enter the amount of each line item

and match in the correct column of the Budget Category form. The spreadsheet will add each addition and round off the nearest whole dollar. You may add extra rows if necessary, the spreadsheets total at the end of each budget category and total the three spreadsheets at the bottom of the last page (Equipment). The total of the budget including each funding source and/or match amount must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

**a. Personal Services – Salaries/Employee Benefits (OES A303a):**

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. These may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) the Operational Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

**b. Operating Expenses (OES A303b):**

Operating expenses are defined as necessary expenditures other than personal salaries, benefits, and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award), and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software

equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5,000 per unit (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500) under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA), which must be kept on file by the recipient and made available for review during an OES site visit, monitoring visit, or audit. In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses category.

**c. Equipment (OES A303c):**

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$5,000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

**C. APPLICATION APPENDIX**

The Application Appendix provides OES with additional information from the applicant to support components of the application. The following must be included:

- Operational Agreements: *OAs must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period.* This document must demonstrate a formal system of networking and coordination with other agencies and the applicant. A sample OA is provided in “Forms” ([FORMS](#)).
- Project Summary
- Organizational Chart
- Out of State Travel Request, OES 700 (if applicable)
- Noncompetitive Bid Request Checklist (if applicable)
- Computer and Automated Systems Purchase Justification Guidelines (if applicable)